

New York Stock Exchange LLC

NYSE American LLC

NYSE Arca, Inc.

NYSE Chicago, Inc.

NYSE National, Inc.

(Collectively, “NYSE” or the “Exchanges”)

***Application for Individual Registration or Non-Registered Associated Persons
 (“NRF”) Designation***

APPLICATION FOR INDIVIDUAL REGISTRATION OR NRF DESIGNATION**Individual Registration**

To be eligible for registration as defined in Exchange rules, an individual must (i) successfully complete the required examination(s), (ii) complete this Exchange application and any required Orientation Program, and (iii) submit a Form U4 and fingerprint card to Web CRD requesting the appropriate designation with the NYSE Exchange(s).

NRF Designation

To be designated as an NRF, employees and associated persons of a member organization are not required to register with the Exchange(s), but must (i) complete this Exchange application and (ii) submit a fingerprint card to Web CRD.

INDICATE REGISTRATION or NRF DESIGNATION INDIVIDUAL IS SEEKING (CHECK ALL THAT APPLY)

| Equities | Options |
|---|---|
| <input type="checkbox"/> New York Stock Exchange LLC <input type="checkbox"/> ME - Designated Market Maker (Series 19 & DMM exam) <input type="checkbox"/> ME - Floor Broker (Series 19) <input type="checkbox"/> FL - Floor Clerk (Series 19) <input type="checkbox"/> FE - Floor Employee <input type="checkbox"/> MT - Market Maker Authorized Trader (Series 57)*† | <input type="checkbox"/> NYSE American <input type="checkbox"/> OM - Market Maker (Series 57) <input type="checkbox"/> OM - Floor Broker (Series 57) <input type="checkbox"/> OM - Specialist/eSpecialist (Series 57) <input type="checkbox"/> FE - Floor Employee <input type="checkbox"/> Office Nominee (NRF) |
| <input type="checkbox"/> NYSE American <input type="checkbox"/> MT - Market Maker Authorized Trader (Series 57)*† <input type="checkbox"/> MT - Electronic Designated Market Maker (Series 57) *† | <input type="checkbox"/> NYSE Arca <input type="checkbox"/> OM - Market Maker (Series 57) <input type="checkbox"/> OM - Floor Broker (Series 57) <input type="checkbox"/> OM - LMM (Series 57) <input type="checkbox"/> FE - Floor Employee |
| <input type="checkbox"/> NYSE Arca <input type="checkbox"/> MT - Market Maker Authorized Trader (Series 57)*† <input type="checkbox"/> MT - Lead Market Maker (Series 57) *† | |
| <input type="checkbox"/> NYSE National <input type="checkbox"/> MT - Market Maker Authorized Trader (Series 57) *† | |
| <input type="checkbox"/> NYSE Chicago <input type="checkbox"/> ME - Institutional Broker (IBR Exam + GS, TD or AR registration) <input type="checkbox"/> Clerk (NRF) <input type="checkbox"/> Voting Designee (NRF) | |

*Completed and signed Market Maker Orientation to be submitted

† The Exchange does not intend to impose different registration requirements on Equity MMATs than are required of Securities Traders. Approved Securities Traders will qualify to register in the MT category.

INDIVIDUAL APPLICANT INFORMATION

Applicant Name: _____ CRD: _____
Title/Trading Floor Position: _____ DOB: _____
Phone: _____ Email: _____

MEMBER ORGANIZATION INFORMATION

Member Organization Name: _____ CRD: _____
Primary Contact Name: _____ Title: _____
Phone: _____ Email: _____

APPLICATION CHECKLIST

A Form U4 requesting appropriate registrations have been submitted to FINRA through Web CRD
(See above for appropriate registration type for business activity.)

- ☐ Yes
☐ N/A (Individual is an NRF)

Does individual have any reportable events on Form U4 Web CRD?

- ☐ Yes
☐ No
☐ N/A (Individual is an NRF)

Individual has passed or been granted a waiver of the required examination

- ☐ Yes
☐ N/A (No exam requirement)

☐ A Fingerprint Card is available on Web CRD

☐ If applicable, Market Maker Orientation has been completed and is attached

TO BE COMPLETED BY INDIVIDUALS REQUIRING PHYSICAL ACCESS TO THE FACILITIES OF THE EXCHANGE(S)

- ☐ New York Stock Exchange LLC Equity Floor
☐ NYSE American Options Floor
☐ NYSE Arca Options Floor

Expected start date:
(if known) _____

Position / Reason for access to the Trading Floor: _____

Badge # (if applicable): _____

Will individual require a Clerk Logon ID?

☐

Yes

☐

No

Is individual currently active on the Exchange Trading Floor?

☐

Yes

☐

No

If no, has individual ever been active on the Exchange Trading Floor in the past?

☐

Yes

☐

No

Enter the last date individual was active on the Trading Floor: _____

New or returning NYSE Floor Brokers, DMMs and Clerks have completed NFOP in last 6 months?

☐

Yes

☐

No

AUTHORIZED ACKNOWLEDGEMENT

I authorize NYSE and its affiliates to give any information they may have concerning me to any employer or prospective employer, any federal, state, or municipal agency, or any other SRO, and I release the Exchange, its affiliates and any person acting on their behalf from any and all liability of whatever nature by reason of furnishing such information.

I affirm my obligation to abide, in full, with the rules and regulations of the Exchange(s) and subject to its regulatory and disciplinary jurisdiction and that of its market and regulatory subsidiaries.

I swear or affirm that I have read and understand the items and instructions on this form and that my answers are true and complete to the best of my knowledge.

Applicant Signature: _____

Date: _____

Member Organization Acknowledgment

Authorized Signatory of Firm: _____

Print Name: _____

Date: _____